

OFFICE OF EMERGENCY SERVICES
Implementing Agency/County
PERFORMANCE SITE VISIT

GRANT NUMBER	GRANT AWARD PERIOD	GRANT AWARD AMOUNT
RT07040150	10/1/07 – 6/30/09	\$62,844

PROGRAM NAME:	Avenues to Change
PROJECT TITLE:	Residential Substance Abuse Treatment Program

(1) ADMINISTRATIVE AGENCY:	County of Kern
(2) IMPLEMENTING AGENCY:	Probation Department
(3) PROJECT DIRECTOR:	John R. Roberts
Address:	2005 Ridge Road, Bakersfield, CA 93305
Phone:	(661) 868-4102
DATE OF VISIT: 10/29/08	Visit Conducted By: Leona LaRochelle

PERSON(S) INTERVIEWED/CONTACTED DURING THE VISITATION

Date	Name	Title	Telephone/E-Mail Address
10/29/08	Matthew Gomez	Deputy Probation Officer III (DPO)	
10/29/08	Thad W. Kennedy	Division Director Juvenile Hall	(661) 868-4223
10/29/08	Theresa L. Yanez	Assist Division Director/Programmatic person	(661) 868-7482
10/29/08	Creig York	Administrative Services Officer/Financial Officer	(661) 868-4154

Signature of OES Representative Conducting the Visit

Date

Signature of Section Chief

Date

PROGRAM VISITATION FORM

I. PROGRAMMATIC REVIEW

A. General

- | | YES | NO | N/A |
|--|-------------------------------------|--------------------------|--------------------------|
| 1. Does the project being visited fit within one of the Following categories? (check only one) [✓] | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

- | | |
|-------------------------------------|---|
| <input type="checkbox"/> | 2 nd Year; |
| <input type="checkbox"/> | 3 rd Year; |
| <input checked="" type="checkbox"/> | Over four years; (Please specify) 2003 –2008 years. |

2. Operational Documentation

Does the project have current versions of the:

- | | | | |
|--------------------------|-------------------------------------|--------------------------|--------------------------|
| a. Recipient Handbook | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Grant Award Agreement | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

3. Goals, Objectives, and Project Activities

(Review the project's responses to the goals, objectives, and activities of the Grant Award Agreement)

- | | | | |
|--|-------------------------------------|-------------------------------------|--------------------------|
| a. Has there been any <u>significant changes</u> in the way the project implements or sustains the objectives, and activities of this program?
<i>If yes, has the project discussed the possibility of submitting a grant award modification?</i> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| b. Is the project making satisfactory progress toward achieving the goals and objectives. If not, please explain. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

4. Progress Reporting

(Review the progress report format, content, and submission requirements)

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| a. Has the project submitted all required reports on time? If not, please explain | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Has the project kept accurate source documentation to support statistical data on the PR? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

PROGRAM VISITATION FORM

I. PROGRAMMATIC REVIEW (continued)

A. General (continued)

YES NO N/A

5. Programmatic Source Documentation

(Review documents maintained by project that represents data reported on PRs)

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| a. Has the project developed an information retrieval system that provides accurate data?
<i>(This system may be automated or manual)</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>ATC Commitments Database</i> | | | |
| b. Does the project use data summary sheets or other concrete documents that validate project performance/direct support? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

JJC/CSA Monthly Stats Report

6. Project Staff Duties & Responsibilities

(Assure that project staff have made other project staff available for interviews during the visitation)

- | | | | |
|---|-------------------------------------|-------------------------------------|--------------------------|
| a. Have all grant funded project staff positions been filled? If no, please explain. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Are job descriptions "project specific," rather than a copy of the "county, local agency job classification/position description?" | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>Job specific and trained specific</i> | | | |
| c. Do project staff meet all special skill certifications required? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Are staff performing duties discussed in the Grant Award Agreement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Have project staff assumed duties for more than one OES funded project? If yes, please explain. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| f. Are there any programmatic problems that are unique to this project? If yes, please explain.
<i>Lack of funding to continue project. Have closed program as of 10/24/08</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

PROGRAM VISITATION FORM

II. ADMINISTRATIVE REVIEW

	YES	NO	N/A
A. General			
1. Program Files			
a. Is the project familiar with preparation requirements for the following frequently used OES forms:			
(1) OES Form 223, Grant Award Modification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) OES Form 201, Report of Expenditures and Request for Funds	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Personnel Policies			
a. Are written personnel policies in place & available to all employees?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Do these policies discuss work hours, compensation rates, including overtime, and benefits; vacation, sick or other leave allowances, hiring and promotional policies?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Financial Requirements			
1. Functional Time Sheets			
a. Does the project use the OES Functional Time Sheet for all project positions employed less-than fulltime?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. Are functional time sheets completed correctly?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Duties of the Financial Officer			
a. Has the project taken steps to assure that the duties of the financial officer are separate from that of the project director? (Separation of duties)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PROGRAM VISITATION FORM

II. ADMINISTRATIVE REVIEW (continued)

B. Financial Requirements (continued)

	Yes	No	N/A
b. Do the financial officer and project director interact successfully on project expenditure decisions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Program Match Requirements (Check this block if N/A) ▶▶

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a. This project has the following match requirement:

Cash match 25%	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In kind match	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A combination of the above, approved by OES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b. Has the project provided documentation that verifies the use of local funds to satisfy match requirements?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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C. Financial Source Documentation

1. Does the project maintain updated budget pages on all approved grant award modifications?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the project maintain Confidential Funds? If so, are protective safeguards and policies in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3. If project income is acquired, is it tracked and reported? If no, please explain	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. Has the project submitted Reports of Expenditures on time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are there other issues concerning project expenditures and reporting? If so, please explain.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

PROGRAM VISITATION FORM

II. ADMINISTRATIVE REVIEW (continued)

D. Equipment

	Yes	No	N/A
1. Acquisition			
a. Are equipment purchases authorized budget items?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b. Was equipment purchased in accordance with the Grant Award Agreement?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c. Does the project maintain inventory control logs of equipment purchased with grant funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

E. State/Federal Administrative Requirements

1. Mandated State and Federal Programs

(Determine whether or not the following documents are posted at the site visited)

a. A current Equal Employment Opportunity (EEO) Policy Statement?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. A current "Harassment or Discrimination in Employment is Prohibited by Law" poster?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. A current Drug-Free Workplace Policy statement?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III. PROGRAMMATIC, ADMINISTRATIVE, AND FINANCIAL DISCUSSIONS

(Provide a summary of observations, findings, and recommendations made during the visit)

On October 29, 2008, Leona LaRochelle, Program Specialist, conducted a site visit of the Residential Substance Abuse Treatment (RSAT) program, named "Avenues to Change" at the Kern County Probation Department. In attendance was: Creig York, Financial Officer and Routine Fiscal Person; Matthew Gomez, Deputy Probation Officer III; Thad Kennedy, Division Director, Juvenile Hall; and Theresa Yanez, Assistant Division Director and Routine Programmatic Person.

Kern County Probation Department began their RSAT program in 2003/04. That first year they were funded \$500,000 from Federal Trust Funds, but since the inception of the program the funding to the RSAT has continually decreased. By the following Fiscal Year (FY) 2004/05 funding had dropped to \$350,000. Still a further decline in Federal funding in the FY 2005/06 to \$134,496; and in the FY 2007/08 another decline to \$83,792. In the FY 2008/09 the Office of Emergency Services (OES) was able to increase their funding to \$111,659 for this year only. With the Amendment of 2008/09, (which was to begin in October 1, 2008, and the funds were to be augmented to the FY 2007/08 grant award), recipients were able to go retro-active to July 1, 2008 to claim their funds, which enabled Kern to continue in the FY 2008/09 Augmentation. But regretfully, Kern County's Probation Department has had to close the doors on their RSAT program due to lack of funding, as the funds were used up by the first quarter of the grant award.

I received documentation which showed activities from the "Avenues to Change" program from the inception of the program in FY 2003/04 through the last enrollee on June 29, 2008. Most Wards stay in the program from six to eight months. Documentation of the Avenues to Change program's Monthly Stats Report was also provided showing statistics from the last year.

The Equal Employee Opportunity checklist was addressed, in which Creig York provided documentation needed for the Office of Emergency Services' Compliance Officer, Lisa Abila. Posters were properly posted. According to Thad Kennedy, Division Director, Juvenile Hall, there has been no discrimination findings or allegations of discrimination in the last two years.

There has been some change in staff. A Modification has been submitted, which changes the Project Director to John Roberts, from Brandon Beecher; the routine programmatic person name changed to Theresa Yanez, from Theresa Boss; the routine fiscal person is now Creig York, from Ahmed Jawadi; and the Chair of the Governing Body is now Michael J. Rubion from Don Maben. Signed copies of Modification #2 was received on October 28, 2008 at OES, and sent to Grants Processing on November 3, 2008.

A tour of the facility was lead by Matthew Gomez, DPO III, and Theresa Yanz, Assistant Division Director. The Avenues to Change facility was vacant, due to the programs' closure date of October 24, 2008. Division Director, Thad Kennedy, mentioned they were looking into Senate Bill 81, the Juvenile Justice Realignment initiative for new funding.